

FORM PTO-1390  
(REV. 12-29-99)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

30794.30USWO

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/485071

INTERNATIONAL APPLICATION NO.  
PCT/US98/12351INTERNATIONAL FILING DATE  
12 June 1998PRIORITY DATE CLAIMED  
29 August 1997

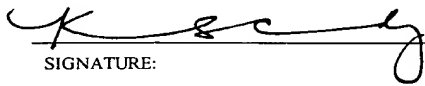
TITLE OF INVENTION MODULATORS OF DNA CYTOSINE-5 METHYLTRANSFERASE AND METHODS  
FOR USE THEREOF

APPLICANT(S) FOR DO/EO/US

Norbert O. Reich and James Flynn

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
  2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
  3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
  4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
    - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ has been transmitted by the International Bureau.
    - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
  6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
  7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
    - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ have been transmitted by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☒ have not been made and will not be made.
  8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern document(s) or information included:**
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
  13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
  14. ☐ A substitute specification.
  15. ☐ A change of power of attorney and/or address letter.
  16. ☒ Other items or information:
    - (a) Verified statement claiming small entity status - by The Regents of the University of California;
    - (b) Verified statement claiming small entity status - by EpiGenX Pharmaceutical.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>09/485071</b>		INTERNATIONAL APPLICATION NO. PCT/US98/12351		ATTORNEY'S DOCKET NUMBER 30794.30USWO																																																			
<p>17. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p><b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :</b></p> <p>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$970.00</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO..... \$840.00</p> <p>International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$690.00</p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... \$670.00</p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$96.00</p> <p><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b> \$ 670.00</p> <p>Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). \$</p> <table border="1"><thead><tr><th>CLAIMS</th><th>NUMBER FILED</th><th>NUMBER EXTRA</th><th>RATE</th></tr></thead><tbody><tr><td>Total claims</td><td>25 - 20 =</td><td>5</td><td>X \$18.00</td></tr><tr><td>Independent claims</td><td>4 - 3 =</td><td>1</td><td>X \$78.00</td></tr><tr><td colspan="3">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td><td>+ \$260.00</td></tr><tr><td colspan="3"><b>TOTAL OF ABOVE CALCULATIONS =</b></td><td>\$ 838.00</td></tr><tr><td colspan="3">Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).</td><td>\$ 419.00</td></tr><tr><td colspan="3"><b>SUBTOTAL =</b></td><td>\$ 419.00</td></tr><tr><td colspan="3">Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).</td><td>\$</td></tr><tr><td colspan="3"><b>TOTAL NATIONAL FEE =</b></td><td>\$ 419.00</td></tr><tr><td colspan="3">Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property</td><td>\$</td></tr><tr><td colspan="3"><b>TOTAL FEES ENCLOSED =</b></td><td>\$ 419.00</td></tr><tr><td colspan="3"></td><td>Amount to be refunded: \$</td></tr><tr><td colspan="3"></td><td>charged: \$</td></tr></tbody></table> <p>a. <input checked="" type="checkbox"/> A check in the amount of \$ 419.00 to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-0494. A duplicate copy of this sheet is enclosed.</p> <p><b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b></p> <p>SEND ALL CORRESPONDENCE TO:</p> <p>CANADY, Karen S. GATES &amp; COOPER 6701 Center Drive West, Suite 1050 Los Angeles, California 90045</p> <p> SIGNATURE: Karen S. Canady NAME 39,927 REGISTRATION NUMBER</p>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	25 - 20 =	5	X \$18.00	Independent claims	4 - 3 =	1	X \$78.00	MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00	<b>TOTAL OF ABOVE CALCULATIONS =</b>			\$ 838.00	Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).			\$ 419.00	<b>SUBTOTAL =</b>			\$ 419.00	Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).			\$	<b>TOTAL NATIONAL FEE =</b>			\$ 419.00	Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property			\$	<b>TOTAL FEES ENCLOSED =</b>			\$ 419.00				Amount to be refunded: \$				charged: \$
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09/485071 PCT/PTO

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Norbert O. Reich and James Flynn  
Docket: 30794.30USWO  
Title: MODULATORS OF DNA CYTOSINE-5 METHYLTRANSFERASE AND METHODS FOR USE THEREOF

CERTIFICATE OF MAILING UNDER 37 CFR 1.10

'Express Mail' mailing label number: EL307943991US

Date of Deposit: February 3, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

By: *Darlene Ross*  
Name: Darlene Ross

BOX PCT  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing Certificate Of Mailing Under 37 CFR 1.10.
- ☒ Verified statement to establish small entity status – by The Regents of the University of California.
- ☒ Verified statement to establish small entity status – by EpiGenX Pharmaceutical.
- ☒ A signed Combined Declaration and Power of Attorney.
- ☒ Our check No. 30105185 in the amount of \$419.00 to cover the Filing Fee.
- ☒ Other: Form PTO-1390 (2 pages); a Preliminary Amendment (4 pages).
- ☒ Return postcard.

CLAIMS AS FILED

Number of Claims Filed	In Excess of:	Number Extra	Rate	Fee
Basic Filing Fee				\$335.00
Total Claims				
25	20	5	x \$9.00	= \$45.00
Independent Claims				
4	3	1	x \$39.00	= \$39.00
MULTIPLE DEPENDENT CLAIM FEE				\$0.00
TOTAL FILING FEE				\$419.00

Please charge any additional fees or credit overpayment to Deposit Account No. 50-0494. A duplicate of this sheet is enclosed.

**GATES & COOPER**  
Howard Hughes Center  
6701 Center Drive West, Suite 1050  
Los Angeles, CA 90045  
(310) 641-8797

By: *Karen S. Canady*  
Name: Karen S. Canady  
Reg. No.: 39,927  
Initials: KSC/dr